

## 5.C - Core Component 5.C

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The institution engages in systematic and integrated planning.

1. The institution allocates its resources in alignment with its mission and priorities.
2. The institution links its processes for assessment of student learning, evaluation of operations, planning, and budgeting.
3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.
4. The institution plans on the basis of a sound understanding of its current capacity. Institutional plans anticipate the possible impact of fluctuations in the institution's sources of revenue, such as enrollment, the economy, and state support.
5. Institutional planning anticipates emerging factors, such as technology, demographic shifts, and globalization.

### Argument

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**5.C.1.** The University budget process begins with the setting of budget priorities that align with the mission and priorities established in the Strategic Plan. The President communicates those priorities to budget decision makers through a budget memo and to the broader University community through ISU's [employee e-newsletter](#). All major budget units are required to submit budget requests in line with institutional priorities.

The Division of Academic Affairs uses 3-year operating plans that directly align with the ISU Strategic Plan and Divisional Priorities. University and [Divisional Priorities](#) are shared within the Division. Budget requests from colleges and units within the Division are submitted on [standard three-year operating plan templates](#) and must address priorities.

The Division of Student Affairs distributes the President's Budget Priorities and Student Affairs Divisional priorities, as well as other strategic directives (i.e. the Student Experience Enhancement Council) each fall, when soliciting budget requests from units within the Division. Directors are asked to prioritize requests, quantify needs (where possible) and identify priorities being addressed. The Division addresses their overall budget request to the President's office in terms of the budget priorities, categorizing all requests into the different priority areas.

For FY2016, the Business and Finance Division's requests were segregated into four major divisional priority areas that support Presidential priorities address in the memo. As shown in the [Business and Finance Budget Priorities](#) and the [Budget Plan Table](#), the Division mapped, with the exception of mandatory cost increase items, all requests towards University priorities.

The President allocates discretionary funds to support special initiatives that align with institutional priorities. Examples of presidential budget initiatives in the past few years include:

- Advancing research: The Presidential Initiative for Interdisciplinary Research utilized an internal proposal process, through which the [President allocated \\$4.5million](#) over three years to bring together talented researchers from ISU, other institutions, national labs and industry.
- Enhancing institutional excellence and scholarly activity: The President's [Enhancing Institutional Excellence Council](#) focused on growing research, increasing national awareness

and recognition of ISU faculty, growing graduate programs, and making investments in the arts and humanities.

- Maintaining a strong engaged undergraduate experience: The [Student Experience Enhancement Council](#) identified priorities and budget requests that align with ISU's priority of maintaining a strong undergraduate experience during a time of significant institutional growth.

ISU's 5-year capital plans demonstrate the prioritization of excellence in research and learning. Projects in the plan include [\\$80M for biosciences facilities](#), [\\$80M for a Student Innovation Center](#), [\\$20.8M for renovation of learning and research space](#), [\\$31.2M for Science Building Renewal](#), and [\\$120M for Veterinary Diagnostic Laboratory](#).

**5.C.2.** All major divisions within the University align their budget requests with institutional priorities. To justify requests, the units provide assessment data to support the prioritization of the request. Within Student Affairs, a variety of metrics are used to measure service demand, outputs, customer satisfaction, and student development (e.g. progress on student learning outcomes associated with programs). In addition to the long-standing Student Affairs Assessment Committee, the Division of Student Affairs recently created a position to bring continuity and consistency to unit and division assessment, allowing the Division to use data more consistently in prioritizing budget needs and requests. Similarly within the Division of Business and Finance, as a part of ongoing quality and customer service improvements, units conduct assessments, customer surveys, etc. to identify needs. The results of these assessments are factored into budget requests.

The linking of student learning outcomes to operations and budget is reflected in the processes used within the Division of Academic Affairs, which link institutional strategic and budget development goals with the division's operating plans and budget requests. For example, Divisional Goal Number 1 is to *"Expand and enhance university programs and services to ensure that students have the best college experience possible, and ensure the students are provided with the support they need to succeed, both inside and outside the classroom."* The focus on preparing graduates for success infers that students have achieved the learning outcomes to complete their degrees and be successful. As academic colleges and other units within the Division develop 3-year operating plan budget requests, they must align those requests with division and institutional priorities.

The [Student Experience Enhancement Council report](#) captures examples of recent funding decisions that align with Institutional priorities to improve student success and achievement of learning outcomes (e.g. additional funding for the Writing and Media Center, the hiring of additional academic advisers, and increased funding for Supplemental Instruction).

Within academic colleges, Deans use a wide range of information to allocate funds within their college:

- Information contained in the e-Data warehouse, such as enrollments and student credit hours taught by department
- Reports from academic program external review teams that highlight areas of need within departments
- College performance on KPIs
- Course information:
  - student outcomes at the course level for large enrollment courses
  - student feedback from Class Climate surveys
  - D/F/Withdraw rates

- Priorities set by the Strategic Plan, the President, the Provost and their college

Deans have the flexibility to factor all of these, and more, into departments' budget allocations.

An example of linking student outcomes to budgeting at the institutional level is a recent commitment made by the Provost to provide funding for departments to redesign courses with high D/F/W rates. The mathematics department invested two years redesigning Math 142 (trigonometry), a high D/F/W course, changing placement testing, pedagogy, and support structures. The results of these changes have been significant, with the D/F/W rate dropping from 58.6% in Fall 2011 to 34.5% in Fall 2012. Continued funding from the Provost's Office will allow other departments to focus faculty release time to address courses in which students struggle at high rates.

**5.C.3.** Planning at ISU occurs at many levels and each type of planning engages internal and external constituent groups as appropriate.

**Strategic Planning:** The development of the current Strategic Plan engaged a broad cross section of the University community, as detailed in Criteria 1.A.1. Development of the plan included [23 individuals on the steering committee and 111 individuals on four task forces](#) associated with priorities identified in the plan. The committees included administrators, faculty, staff, and students. Five open forums were held to allow the entire University community and general public to provide input, and an email link was established to receive comments. In discussing the process that will be used to develop the next strategic plan, [President Leath stated](#) "I will also provide a framework that will be used for the planning process, which will be very inclusive and engaging of all university stakeholders."

**Financial Planning:** In the University's financial planning process, faculty, staff and student are engaged through [Budget Advisory Committees](#). The President utilizes the President's Budget Cabinet and the University Budget Advisory Committee for gathering input and feedback on institutional financial planning and resource allocation decisions. Budget advisory committees are utilized by each Senior Vice President for divisional financial planning and resource allocation decisions.

**Academic Planning:** Faculty members play a critical role in the development of the curriculum, contributing to their status as key internal constituents in academic planning. External constituency groups inform the academic planning process through the following methods:

- External advisory boards/councils for colleges and departments
- Surveys of alumni, employers, and other external constituencies
- Feedback from peers at other institutions through the academic program review process and specialized accreditation reviews.

Colleges and departments engage students in various advisory committees to gain students' perspective.

**Capital Planning:** ISU's capital planning process engages the members of the affected departments throughout the planning process. Department faculty, staff, and students are engaged from the pre-planning needs assessment through implementation. There are two primary committees involved in the review process, the [Capital Projects Advisory Committee](#) and the Capital Projects Work Group. External review of capital projects occurs through Board review and open forum processes. ISU also

submits [master campus plans](#) and 5-year capital plans for Board review and approval.

**5.C.4.** Budget development is an iterative process that evolves as additional information is gained throughout the [budget development cycle](#). Early in the process, units are typically told to consider alternative budget scenarios based on different levels of funding (e.g. revenues increase 3% or revenues flat). Budget projections and development of unit budget requests/plans are then refined throughout the year-long process. The University budget is finalized and submitted to the Board in early July, with Board approval occurring at the August meeting. Conservative estimates are used throughout the budget development process to ensure ISU maintains sufficient cash reserves for unexpected expenses or unanticipated changes to revenue sources.

**5.C.5.** Planning at ISU is continuous and dynamic; evolving based on institutional, state, national and global trends; emerging factors; and feedback from internal and external constituencies. The engagement of faculty and staff in state, national, and international professional organizations and collaborations, keeps the University on the cutting-edge of higher education. Following are a few examples of how planning efforts are proactively addressing emerging factors:

- The Student Experience Enhancement Council (SEEC) was created in 2012 based on enrollment projections that the University was positioned to grow from 28,000 to potentially over 35,000 in five years. SEEC identified potential capacity concerns fairly early in the growth cycle and [developed recommendations](#) for immediate implementation to proactively address such issues.
- ISU's investment in IT infrastructure to transform the wireless capabilities to 100 GB, a 10-fold increase in capacity to meet growing needs of the campus community.
- The creation of the [On-Line Learning Innovation Hub](#) to support increased integration of online learning in existing (distance learning and on-campus) and emerging (hybrid, flipped classrooms) educational delivery models.
- Addressing the trend of increasing numbers of direct from high school international students, the International Student and Scholars Office in collaboration with the academic members of the Council for International Programs have revised the orientation program for new international students, and created a [first-semester orientation course specifically to meet the needs of international students](#). This course is being offered for the first time Fall 2015.

## Sources

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- 2015-2017 Operating Plan Academic Affairs Divisional Priorities
- Academic Affairs - College-Unit Three-Year Operating Plans
- BOR Docket Item August 5 2015
- Budget Advisory Committees
- Budget Development Timeline
- Campus Master Plan Update - October 2013 Presentation to BOR
- Capital Projects Advisory Committee Charge and Membership
- Enhancing Institutional Excellence AnnualReport5-6-14
- FY 2015- FY 2019 Capital Request
- FY 2017- FY 2021 Capital Request
- FY16 Budget Four Priorities- Inside Iowa State

- International First-Year Experience Seminar
- ISU Strategic Plan - Extension - Inside ISU Announcement
- Online Learning Innovation Hub
- Presidential Initiative for Interdisciplinary Research Awards - 6-6-13
- Strategic Planning 2010-2015 Committee Memberships
- Student Experience Enhancement Council Annual Report 5-7-14
- SVPBF - FY16 Budget Plan Table
- SVPBF Budget Priorities FY16